

# **Exhibit 121 Part 1**

**From:** John H. van Merkenstijn, III <jhvm@argremgt.com> on behalf of John H. van Merkenstijn, III <jhvm@argremgt.com>  
**To:** Stephanie Furr  
**CC:** David Zelman  
**Sent:** 7/18/2014 2:59:14 AM  
**Subject:** FW: Plan Documents for Signature  
**Attachments:** David Zelman - Bareroot Capital Pension Plan.pdf; David Zelman - Cantata Industries Pension Plan.pdf; David Zelman - Dicot Technologies Pension Plan.pdf; David Zelman - Old Park Lane -Old Park Lane Appendix A & B Signature Pages.pdf; David Zelman - Power of Attorney.DOCX; Dvaid Zelman - Battu Holdings Pension Plan.pdf; Dvaid Zelman - Vanderlee Technologies - W-9.pdf

DAVID ZELMAN

**EXHIBIT 1434**

12 - 11 - 2020

Advid will be here this afternoon as well

Please set up his for signature

John H van Merkenstijn III  
 Argre Management  
 40 West 57th Street  
 New York, NY 10019  
 1 212 247 2600  
 jhvm@argremgt.com

**From:** <Wells>, Peter Wells <Peter.Wells@kayescholer.com>

**Date:** Thursday, July 17, 2014 at 10:35 PM

**To:** David Zelman <dzelman@transitionsinstitute.com>

**Cc:** John van Merkenstijn <jhvm@argremgt.com>, Richard Markowitz <markowitz@argremgt.com>, Rebecca Veillette <Rebecca.Veillette@kayescholer.com>, Amy Gregory <Amy.gregory@kayescholer.com>, Michael Ben-Jacob <michael.ben-jacob@kayescholer.com>

**Subject:** Plan Documents for Signature

David,

As referenced in my email from earlier today, attached to this email are the relevant signature pages (please do NOT date anything) for the following plans:

1. Oak Park Lane Documents – these documents apply to all the plans
  - Please sign Appendix A in two spots: in the box next to your name (under the word “Signature”), and on the line above your name
  - Please sign Appendix B above your name (once you have returned copies from us we will get John and Richard’s signatures as the authorized trader, as applicable)
2. Bareroot Capital Investments LLC
  - Plan Documents – Please sign next the word “Signature”, print your name and write “Manager” next to the Title/Position; then also sign above your name as Trustee. On the following page please sign next to the word “Signature”, print your name and write “Manager” next to the Title/Position
  - Formal Record of Action – Please sign above your name where indicated
  - Operating Agreement Signature Page – Please sign above your name where indicated
  - Form W-9 – Please sign in the “Sign Here” box
  - Certification of Trust – Please sign above your name as provided. This document needs to be signed before a notary, so if you have access to a notary please have your signature notarized.

Please send the other above documents once signed even if this needs to trail because of the notarization requirement.

3. Cantata Industries LLC

- Plan Documents – Please sign next the word “Signature”, print your name and write “Manager” next to the Title/Position; then also sign above your name as Trustee. On the following page please sign next to the word “Signature”, print your name and write “Manager” next to the Title/Position
- Formal Record of Action – Please sign above your name above your name where indicated
- Operating Agreement Signature Page – Please sign above your name where indicated
- Form W-9 – Please sign in the “Sign Here” box
- Certification of Trust – Please sign above your name as provided. This document needs to be signed before a notary, so if you have access to a notary please have your signature notarized. Please send the other above documents once signed even if this needs to trail because of the notarization requirement.

4. Battu Holdings LLC

- Plan Documents – Please sign next the word “Signature”, print your name and write “Manager” next to the Title/Position; then also sign above your name as Trustee. On the following page please sign next to the word “Signature”, print your name and write “Manager” next to the Title/Position
- Formal Record of Action – Please sign above your name where indicated
- Operating Agreement Signature Page – Please sign above your name where indicated
- Form W-9 – Please sign in the “Sign Here” box
- Certification of Trust – Please sign above your name as provided. This document needs to be signed before a notary, so if you have access to a notary please have your signature notarized. Please send the other above documents once signed even if this needs to trail because of the notarization requirement.

5. Dicot Technologies LLC

- Plan Documents – Please sign next the word “Signature”, print your name and write “Manager” next to the Title/Position; then also sign above your name as Trustee. On the following page please sign next to the word “Signature”, print your name and write “Manager” next to the Title/Position
- Formal Record of Action – Please sign above your name where indicated
- Operating Agreement Signature Page – Please sign above your name where indicated
- Form W-9 – Please sign in the “Sign Here” box
- Certification of Trust – Please sign above your name as provided. This document needs to be signed before a notary, so if you have access to a notary please have your signature notarized. Please send the other above documents once signed even if this needs to trail because of the notarization requirement.

6. Vanderlee Technologies

- Form W-9 – Please sign in the “Sign Here” box

Please also send me a copy of your signed power of attorney, which I have attached to this email for your convenience here again.

Let me know if you have any questions.

Regards,  
Peter

Peter Wells  
Kaye Scholer LLP  
425 Park Avenue | New York, New York 10022  
T: +1 212.836.8662 | F: +1 212.836.6447  
[peter.wells@kayescholar.com](mailto:peter.wells@kayescholar.com) | [www.kayescholar.com](http://www.kayescholar.com)

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privileged information from the law firm Kaye Scholer LLP. If delivered to anyone other than the intended recipient, please notify the sender immediately by return email or by telephone (+1 212.836.8662) and delete the message, along with any attachments, from your computer. Thank you.

## CERTIFICATION OF TRUST

I, David Zelman, trustee of the Battu Holdings LLC Roth 401K Plan confirm the following facts:

1. The **Battu Holdings LLC Roth 401K Plan** is currently in existence and was created on **July 17, 2014**.
2. The settlor/grantor/trustor of the trust is:  
**Battu Holdings LLC**
3. The currently acting trustees of the trust are:  
**David Zelman**
4. The address of the trustee is:  
**c/o 425 Park Avenue  
New York, NY 10022**
5. The power of the trustee includes: **The powers to sell, convey, exchange, borrow money, and encumber the trust property with a deed of trust or mortgage.**
6. Type of Trust: **Irrevocable**
7. The federal ID number of the trust is: **47-1351779**
8. Title to trust assets shall be taken in the following fashion:  
**Battu Holdings LLC Roth 401K Plan**
9. The Successor Trustee(s) is/are: \_\_\_\_\_

The undersigned trustee hereby declares that the trust has not been revoked, modified, or amended in any manner which would cause the representations contained herein to be incorrect.

---

**David Zelman**

---

Date

(This form must be acknowledged before a notary public)

STATE OF \_\_\_\_\_  
COUNTY OF \_\_\_\_\_

On this, the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me a notary public, the undersigned, personally appeared \_\_\_\_\_ known to me (or satisfactorily proven) to be the person whose name is subscribed to the within instrument, and acknowledged that he executed the same for the purposes therein contained.

Notary Public Seal:

\_\_\_\_\_  
Notary Public Signature

**W-9**  
 Form  
 (Rev. August 2013)  
 Department of the Treasury  
 Internal Revenue Service

## Request for Taxpayer Identification Number and Certification

Give Form to the requester. Do not send to the IRS.

<b>Print or type See Specific Instructions on page 2.</b>	Name (as shown on your income tax return) <b>Battu Holdings LLC Roth 401K Plan</b>					
	Business name/disregarded entity name, if different from above 					
Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate  <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ► _____  <input checked="" type="checkbox"/> Other [see instructions] ► <b>Trust</b>						Exemptions (see instructions):  Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____
Address (number, street, and apt. or suite no.) <b>c/o Battu Holdings LLC, 425 Park Ave Ste 17A</b>						Requester's name and address (optional)
City, state, and ZIP code <b>New York, NY 10022</b>						
List account number(s) here (optional)						

### **Part I Taxpayer Identification Number (TIN)**

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I Instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

**Social security number**

\_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

**Employer identification number**

4 7 - 1 3 5 1 7 7 9

### **Part II Certification**

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below), and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

<b>Sign Here</b>	Signature of U.S. person ►
------------------	----------------------------

Date ►

### **General Instructions**

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** The IRS has created a page on IRS.gov for information about Form W-9, at [www.irs.gov/w9](http://www.irs.gov/w9). Information about any future developments affecting Form W-9 (such as legislation enacted after we release it) will be posted on that page.

### **Purpose of Form**

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, payments made to you in settlement of payment card and third party network transactions, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the

withholding tax on foreign partners' share of effectively connected income, and

4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct.

**Note.** If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

**BATTU HOLDINGS LLC ROTH 401K PLAN**

Established as of January 1, 2014

Copyright 2002-2014

All Rights Reserved.

IN WITNESS WHEREOF, the parties have caused this Plan to be executed this \_\_\_\_\_ day of \_\_\_\_\_, 2014.

BATTU HOLDINGS LLC:

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

TRUSTEE:

DAVID B. ZELMAN

The undersigned agree to be bound by the terms of the foregoing addenda to the Plan and acknowledge receipt of same. The addenda are executed this \_\_\_\_\_ day of \_\_\_\_\_, 2014.

BATTU HOLDINGS LLC:

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

V4.02-A.02

BATTU HOLDINGS LLC  
FORMAL RECORD OF ACTION

The following is a formal record of action taken by the governing body of BATTU HOLDINGS LLC (the "Company").

With respect to the adoption of the BATTU HOLDINGS LLC ROTH 401k PLAN (the "Plan"), the following resolutions are hereby adopted:

**RESOLVED:** That the Plan be adopted in the form attached hereto, which Plan is hereby adopted and approved;

**RESOLVED FURTHER:** That the appropriate officers of the Company be, and they hereby are, authorized and directed to execute the Plan on behalf of the Company;

**RESOLVED FURTHER:** That DAVID B. ZELMAN is hereby appointed as the Trustee of the Plan; and

**RESOLVED FURTHER:** That the officers of the Company be, and they hereby are, authorized and directed to take any and all actions and execute and deliver such documents as they may deem necessary, appropriate or convenient to effect the foregoing resolutions including, without limitation, causing to be prepared and filed such reports documents or other information as may be required under applicable law.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 2014.

\_\_\_\_\_  
David B. Zelman

V-4 02

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IN WITNESS WHEREOF, the party has entered into this Agreement as of the date and year first above set forth.

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David Zelman, Manager and Member

## CERTIFICATION OF TRUST

I, **David Zelman**, trustee of the **Dicot Technologies LLC Roth 401K Plan** confirm the following facts:

1. The **Dicot Technologies LLC Roth 401K Plan** is currently in existence and was created on **July 17, 2014**.
2. The settlor/grantor/trustor of the trust is:  
**Dicot Technologies LLC**
3. The currently acting trustees of the trust are:  
**David Zelman**
4. The address of the trustee is:  
**c/o 425 Park Avenue  
New York, NY 10022**
5. The power of the trustee includes: **The powers to sell, convey, exchange, borrow money, and encumber the trust property with a deed of trust or mortgage.**
6. Type of Trust: **Irrevocable**
7. The federal ID number of the trust is: **47-1352843**
8. Title to trust assets shall be taken in the following fashion:  
**Dicot Technologies LLC Roth 401K Plan**
9. The Successor Trustee(s) is/are: \_\_\_\_\_

The undersigned trustee hereby declares that the trust has not been revoked, modified, or amended in any manner which would cause the representations contained herein to be incorrect.

---

**David Zelman**

---

Date

(This form must be acknowledged before a notary public)

STATE OF \_\_\_\_\_  
COUNTY OF \_\_\_\_\_

On this, the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me a notary public, the undersigned, personally appeared \_\_\_\_\_ known to me (or satisfactorily proven) to be the person whose name is subscribed to the within instrument, and acknowledged that he executed the same for the purposes therein contained.

Notary Public Seal:

Notary Public Signature

**W-9**  
 Form  
 (Rev. August 2013)  
 Department of the Treasury  
 Internal Revenue Service

## Request for Taxpayer Identification Number and Certification

Give Form to the requester. Do not send to the IRS.

Print or type See Specific Instructions on page 2	Name (as shown on your income tax return) <b>Dicot Technologies LLC Roth 401K Plan</b>				
	Business name/disregarded entity name, if different from above				
Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate  <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ►					Exemptions (see instructions):  <input type="checkbox"/> Exempt payee code (if any). <input type="checkbox"/> Exemption from FATCA reporting code (if any)
<input checked="" type="checkbox"/> Other (see instructions) ► Address (number, street, and apt. or suite no.) <b>c/o Dicot Technologies LLC, 425 Park Ave Ste 17A</b>					Requester's name and address (optional)
City, state, and ZIP code <b>New York, NY 10022</b>					
List account number(s) here (optional)					

### **Part I Taxpayer Identification Number (TIN)**

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Social security number									
Employer identification number									
4	7	-	1	3	5	2	8	4	3

### **Part II Certification**

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below), and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here	Signature of U.S. person ►
-----------	----------------------------

Date ►

### **General Instructions**

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** The IRS has created a page on IRS.gov for information about Form W-9, at [www.irs.gov/w9](http://www.irs.gov/w9). Information about any future developments affecting Form W-9 (such as legislation enacted after we release it) will be posted on that page.

### **Purpose of Form**

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, payments made to you in settlement of payment card and third party network transactions, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the

withholding tax on foreign partners' share of effectively connected income, and

4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct.

**Note.** If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

**DICOT TECHNOLOGIES LLC**

**ROTH 401(K) PLAN**

Established as of January 1, 2014

Copyright 2002-2014

All Rights Reserved.

IN WITNESS WHEREOF, the parties have caused this Plan to be executed this \_\_\_\_\_  
day of \_\_\_\_\_, 2014.

DICOT TECHNOLOGIES LLC

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

TRUSTEE

David B. Zelman

The undersigned agree to be bound by the terms of the foregoing addenda to the Plan and acknowledge receipt of same. The addenda are executed this \_\_\_\_\_ day of \_\_\_\_\_, 2014.

DICOT TECHNOLOGIES LLC:

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

V4.02-4.02

2024 RELEASE UNDER E.O. 14176

**DICOT TECHNOLOGIES LLC  
FORMAL RECORD OF ACTION**

The following is a formal record of action taken by the governing body of Dicot Technologies LLC (the "Company").

With respect to the adoption of the Dicot Technologies LLC Roth 401(k) Plan (the "Plan"), the following resolutions are hereby adopted:

**RESOLVED:** That the Plan be adopted in the form attached hereto, which Plan is hereby adopted and approved;

**RESOLVED FURTHER:** That the appropriate officers of the Company be, and they hereby are, authorized and directed to execute the Plan on behalf of the Company;

**RESOLVED FURTHER:** That David B. Zelman is hereby appointed as the Trustee of the Plan; and

**RESOLVED FURTHER:** That the officers of the Company be, and they hereby are, authorized and directed to take any and all actions and execute and deliver such documents as they may deem necessary, appropriate or convenient to effect the foregoing resolutions including, without limitation, causing to be prepared and filed such reports documents or other information as may be required under applicable law.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 2014.

\_\_\_\_\_  
David B. Zelman

V-4.02

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GUNDERSON 00008668

CONFIDENTIAL

IN WITNESS WHEREOF, the party has entered into this Agreement as of the date and year first above set forth.

---

David Zelman, Manager and Member

## CERTIFICATION OF TRUST

I, David Zelman, trustee of the Bareroot Capital LLC Roth 401K Plan confirm the following facts:

1. The Bareroot Capital LLC Roth 401K Plan is currently in existence and was created on **July 17, 2014**.
2. The settlor/grantor/trustor of the trust is:  
**Bareroot Capital LLC**
3. The currently acting trustees of the trust are:  
**David Zelman**
4. The address of the trustee is:  
**c/o 425 Park Avenue  
New York, NY 10022**
5. The power of the trustee includes: **The powers to sell, convey, exchange, borrow money, and encumber the trust property with a deed of trust or mortgage.**
6. Type of Trust: **Irrevocable**
7. The federal ID number of the trust is: **47-1362620**
8. Title to trust assets shall be taken in the following fashion:  
**Bareroot Capital LLC Roth 401K Plan**
9. The Successor Trustee(s) is/are: \_\_\_\_\_

The undersigned trustee hereby declares that the trust has not been revoked, modified, or amended in any manner which would cause the representations contained herein to be incorrect.

---

**David Zelman**

---

Date

(This form must be acknowledged before a notary public)

STATE OF \_\_\_\_\_  
COUNTY OF \_\_\_\_\_

On this, the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me a notary public, the undersigned, personally appeared \_\_\_\_\_ known to me (or satisfactorily proven) to be the person whose name is subscribed to the within instrument, and acknowledged that he executed the same for the purposes therein contained.

Notary Public Seal:

Notary Public Signature